

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

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UNITED STATES OF AMERICA :

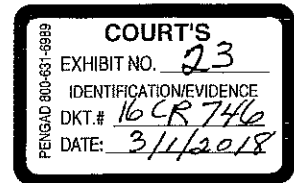
- v. - :

DAVID BERGSTEIN, :

Defendant. :

16 Cr. 746 (PKC)

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Verdict Form



USDC SDNY  
DOCUMENT  
ELECTRONICALLY FILED  
DOC #:  
DATE FILED: 3/2/2018

**Count One (Conspiracy to Commit Investment Advisor Fraud & Securities Fraud)**

☒ Guilty ☐ Not Guilty

**Count Two (Investment Advisor Fraud – WFF & P2 Fund)**

☒ Guilty ☐ Not Guilty

**Count Three (Investment Advisor Fraud – TT Portfolio)**

☒ Guilty ☐ Not Guilty

**Count Four (Securities Fraud – P2 Fund)**

☒ Guilty ☐ Not Guilty

**Count Five (Securities Fraud – TT Portfolio)**

☒ Guilty ☐ Not Guilty

**Count Six (Conspiracy to Commit Wire Fraud)**

☒ Guilty ☐ Not Guilty

**Count Seven (Wire Fraud)**

X Guilty \_\_\_\_\_ Not Guilty

03/01/2018  
Date

  
Foreperson